

APPENDIX E RESPONSIVENESS CHECKLIST

The following checklist has been provided in order to verify that all required forms and submittals are provided. Many of the items listed in RFQ Appendix F require additional or supporting information for which there are no forms. It will be the PPC's responsibility for reviewing all the forms and determining when and where additional information shall be included with the Qualification Statement. If there is a conflict the items specified in the RFQ Appendix F shall prevail.

CERTIFICATION REGARDING FINANCIAL CONTRIBUTIONS

___ Execute Certifications in RFQ Appendix G for PPC and identified subcontractors whose subcontract is reasonably likely to exceed \$100,000.

1.0 DESIGN-BUILD-FINANCE-OPERATE ENTITY:

- ___ Provide information about the DBFO Entity, page 1 of RFQ Appendix F.
 - ___ Provide a listing of the PPC, each Financing Entity and Core Subcontractor, page 1 of RFQ Appendix F.
 - ___ Provide a brief description of each Financing Entity and Core Subcontractor and identify their proposed scope of work, page 2 of RFQ Appendix F.
 - ___ Provide an organization chart showing all participants in the prequalification statement, page 2 of RFQ Appendix F.
 - ___ Provide a listing of all Professional Service subconsultants in the Prequalification Statement, page 3 of RFQ Appendix F.

2.0 PROPOSED PROJECT COMPANY (PPC) OR JOINT VENTURE OR TEAM:

- ___ Provide information about the PPC, joint venture or team, RFQ Appendix F Section 2.1, page 4.
- ___ Answer all questions and submit all requested information for the PPC, joint venture participant and/or team member, RFQ Appendix F Section 2.2, page 5:
 - ___ Provide preliminary Joint Venture or teaming Agreement if the PPC is a joint venture or a team to be formed, (RFQ Appendix F Section 2.2.1, page 5). Identify all the sponsoring participants of the venture or team including a one page organization chart, (RFQ Appendix F Section 2.2.1.A page 7), and a description of who in the PPC will have overall decision making authority and how decisions will be made, (RFQ Appendix F Section 2.2.1.B page 5).
 - ___ Provide description of at least two projects of US \$50 million or more in value completed within the last ten years, (or at least one project of US \$100 million or more in value completed in the last five years) involving complex engineering or heavy construction in a multi-disciplinary project in which the PPC, or at least one joint venture participant, was either the sponsor or manager. Identify the project(s), location, owner, date of completion, contractor performing the work, and the PPC's or joint venture participant's role and performance in each project cited, RFQ Appendix F Section 2.2.2, page 5.
 - ___ Provide a notarized statement from an admitted surety insurer approved by

the California Department of Insurance authorized to issue bonds in the State of California which states that the current amount of bonding capacity that can be provided for payment and performance bonds is not less than 100 per cent of the total initial Fixed Facility and AGT cost, RFQ Appendix F Section 2.2.3, Page 5.

3.0 FINANCING ENTITIES:

___ Answer all questions and submit all requested information for each Financing Entity, RFQ Appendix F Section 3.1, page 6.

___ Answer all questions and submit all requested information for each Financing Entity, RFQ Appendix F Section 3.2, page 7:

___ Provide description of the relationship between members of the PPC and the Financing Entity, including the anticipated identify of the equity partners, the economic interest of each equity partner and details of the financial capacity and credit quality of each equity partner, RFQ Appendix F Section 3.2.1, page 7.

___ Details of the anticipated equity investment of each Financing Entity in percentage terms, RFQ Appendix F Section 3.2.1.A, page 7.

___ A current credit rating report for each Financing Entity demonstrating a corporate credit rating of at least BBB+ (or equivalent) from one of Standard & Poor's, Moody's Investor Service, or Fitch, RFQ Appendix F Section 3.2.1.B, page 7.

OR

___ Provide financial information demonstrating the necessary financial capacity, to pay the equity portion of the Project in the current capital market by submitted audited financial statements and annual reports for each of the last three fiscal years, and the most recent available interim financial statement for each quarter since the last fiscal year for which audited statements are provided, including details of any material off-balance sheet financing arrangement currently in place and details of any material events that may effect the entity's financial standing, RFQ Appendix F, Section 3.2.2, page 7.

___ Provide financial information demonstrating the necessary financial resources to successfully finance and execute a project similar to the size, scope and complexity of the OAC Project, RFQ Appendix F, Section 3.2.2, page 7.

___ Provide financial information that will demonstrate the Financing Entity's, or the equity partner's, experience and resources to invest in and arrange financing for the OAC Project, RFQ Appendix F Section 3.2.3, page 7.

___ Provide a description of the Financing Entity's, or the equity partner's, experience in arranging cost-effective financing for infrastructure projects on the basis of a contracted multi-year payment mechanism involving availability payments, unavailability deductions, performance deductions, and share of ridership risk, including specific considerations affecting the payment mechanism that will influence the financing approach for the OAC Project, RFQ Appendix F Section 3.2.3.A, page 7.

___ Provide a summary of the financing arranged on at least one, but not more than three, recent transportation projects greater than US \$300 million that are similar to the complexity of the OAC Project, RFQ Appendix F Section 3.2.3.B, page 7.

___ Provide at least one reference on each transportation project and one reference from a lender who can effectively attest to the prudence of past and current financial management practices and the financial capacity to undertake the OAC Project, RFQ Appendix F Section 3.2.3.C, page 8.

___ Provide 1-2 page description of initial approach to Project financing including a

discussion of the financial transaction structures that contemplate the effective use of capital finance and risk mitigation strategies, RFQ Appendix F Section 3.2.4, Page 8.

CORE DISCIPLINES**4.0 CONSTRUCTION:**

- ___ Provide information about Construction Subcontractor, RFQ Appendix F Section 4.1, page 9. Alternatively, the PPC may describe the approach the PPC will use in acquiring the skills and expertise described in RFQ Section 10.1.3 and past experience in doing so.
- ___ Submit required information for the Construction Subcontractor, RFQ Appendix F Section 4.2, page 10.
 - ___ Submit evidence of experience as specified in RFQ Appendix F Section 4.2.1, page 10.
 - ___ Submit information on projects as specified in RFQ Appendix F Section 4.2.2, page 10, including information regarding locations, owners, dates of completion and description of the Construction Subcontractor's role and performance on each project including the details of the following requirements: environmental mitigation measures; equal employment opportunity requirements and procedures; protection of adjacent structures; traffic routing and control; light rail, urban, heavy rail, or AGT experience; and integration of fixed facilities with light rail, urban, heavy rail or AGT.
- ___ List of other construction subcontractors, if applicable, RFQ Appendix F Section 4.3, page 11. (Designate "None" if no construction subcontractors are being prequalified.)

5.0 FIXED FACILITIES DESIGN:

- ___ Provide information about the CFFD, RFQ Appendix F Section 5.1, page 13. Alternatively the PPC may describe the approach the PPC will use in acquiring the skills and expertise described in RFQ Section 10.1.4 and past experience in doing so.
- ___ Submit required information for the Fixed Facilities Designer, RFQ Appendix F Section 5.2, page 14.
 - ___ Submit evidence of experience as specified in RFQ Appendix F Section 5.2.1, page 14.
 - ___ Submit information on at least one, but not more than three (3), recent project of similar size, scope and complexity to the OAC Project completed within the last seven (7) years, including information regarding locations, owners, dates of completion and description of the Fixed Facilities Designer's role and performance on each project. Include the details of the following requirements: environmental mitigation measures; equal employment opportunity requirements and procedures; protection of adjacent structures; traffic routing and control; light rail, urban, heavy rail, or AGT experience; integration of fixed facilities with light rail, urban, heavy rail or AGT; and agency coordination experience as the type described in RFQ Section 4.18. Identify the prime construction contractors (including the name, address, and phone number of a contact person) that built each of the cited projects, RFQ Appendix F Section 5.2.2, page 14.

6.0 AGT SUPPLY:

- ___ Provide information about the AGT Supplier, RFQ Appendix F Section 6.1, page 15. Alternatively the PPC may describe the approach the PPC will use in acquiring the skills and expertise described in RFQ Section 10.1.5 and past experience in doing so.
- ___ Submit required information for the AGT Supplier, RFQ Appendix F Section 6.2, page 16.
 - ___ Submit evidence of experience as specified in RFQ Appendix F Section 6.2.1, page 16.
 - ___ Submit descriptions of the proposed AGT technologies and how they will each meet the requirements described in RFQ Sections 2.3.1, 5.0 and 6.0.
 - ___ Submit information on project(s) as specified in RFQ Appendix F Section 6.2.3, page 16, along with following requested supporting information:
 - ___ Project name and location; Owner name, address, contact person, telephone number; project start and completion dates, contract amount; project description, including system size and performance as compared to the OAC Project, RFQ Appendix F Section 6.2.3, #1, Page 16.
 - ___ Automatic train control subsystem supplier, RFQ Appendix F Section 6.2.3, #2, Page 16.
 - ___ Names of key firms involved and specific experience said firm gained from the project, RFQ Appendix F Section 6.2.3, #3, Page 16.
 - ___ Letter(s) of reference from owner(s), RFQ Appendix F Section 6.2.3, #4, Page 16.
 - ___ Evidence from system operating statistics that Major Subsystems, including automatic train control, vehicles, and switches are technically mature, RFQ Appendix F Section 6.2.3, #5, Page 16.
 - ___ Experience with safety certification, including experience in working with government oversight agencies, RFQ Appendix F Section 6.2.3, #6, page 16.

7.0 OPERATIONS & MAINTENANCE (O&M) SERVICE:

- ___ Provide information about the O&M Service Provider, RFQ Appendix F Section 7.1, page 17. Alternatively the PPC may describe the approach the PPC will use in acquiring the skills and expertise described in RFQ Section 10.1.6 and past experience in doing so.
- ___ Submit required information for the O&M Service Provider, RFQ Appendix F Section 7.2 page 18.
 - ___ Submit evidence of experience as specified in RFQ Appendix F Section 7.2.1, page 18.
 - ___ Submit evidence demonstrating how experience qualifies for the OAC Project, including project name and location; owner name, address, contact person, and phone number; project start and completion dates; project description including system size and performance characteristics; and responsibilities and services provided; RFQ Appendix F Section 7.2.2, page 18.

PROFESSIONAL SERVICES SUBCONTRACTOR FORMS

Professional Services subcontractors and subconsultants (#8 through #17, above) do not have to be prequalified if the Core Subcontractors and/or the PPC is performing the work. See RFQ Section 9.4.

8.0 CONSTRUCTION ENGINEERING FIRM

- ___ Provide information about the Construction Engineering Firm, RFQ Appendix F Section 8.1, page 19.
- ___ Submit required information for the Construction Engineering Firm, RFQ Appendix F Section 8.2, page 19.
- ___ Submit evidence of ten (10) years experience in construction management of heavy civil projects, RFQ Appendix F Section 8.2.1, page 19.
- ___ Submit a description and record of performance for at least one, and no more than (3) three, recent projects as described in RFQ Appendix F Section 8.2.2, page 19.

9.0 UTILITIES ENGINEERING FIRM

- ___ Provide information about the Utilities Engineering Firm, RFQ Appendix F Section 9.1, page 19.
- ___ Submit evidence of five (5) years of experience in utilities engineering design, RFQ Appendix F Section 9.2, page 19.

10.0 STRUCTURAL ENGINEERING FIRM

- ___ Provide information about the Structural Engineering Firm, RFQ Appendix F Section 10.1, page 20.
- ___ Submit evidence of five (5) years of experience in structural engineering design, RFQ Appendix F Section 10.2, Page 20.

11.0 CIVIL ENGINEERING FIRM

- ___ Provide information about the Civil Engineering Firm, RFQ Appendix F Section 11.1, page 20.
- ___ Submit evidence of five (5) years of experience in civil engineering design, RFQ Appendix F Section 11.2, Page 20.

12.0 GEOTECHNICAL ENGINEERING FIRM

- ___ Provide information about the Geotechnical Engineering Firm, RFQ Appendix F Section 12.1, page 21.
- ___ Submit evidence of five (5) years of experience in geotechnical engineering design, RFQ Appendix F Section 12.2, Page 21.

13.0 MECHANICAL ENGINEERING FIRM

- ___ Provide information about the Mechanical Engineering Firm, RFQ Appendix F Section 13.1, page 21.
- ___ Submit evidence of five (5) years of experience in mechanical engineering design, RFQ Appendix E Section 13.2, Page 21.

14.0 ELECTRICAL ENGINEERING FIRM

- ___ Provide information about the Electrical Engineering Firm, RFQ Appendix F Section 14.1, page 22.
- ___ Submit evidence of five (5) years of experience electrical engineering design, RFQ Appendix F Section 14.2, Page 22.

15.0 TRANSIT STATION DESIGN FIRM

- ___ Provide information about the Transit Station Design Firm, RFQ Appendix F Section 15.1, page 22.
- ___ Submit evidence of five (5) years of experience in transit station design, RFQ Appendix E Section 15.2, Page 22 or a description of at least one project that demonstrates architectural and aesthetic expertise in the successful design of an architectural element that demonstrates the application of historical and cultural aspects to a significant corridor, similar to the significance of the Hegenberger corridor as a gateway to Oakland.

16.0 MAINTENANCE FACILITY DESIGN FIRM

- ___ Provide information about the Maintenance Facility Design Firm, RFQ Appendix F Section 16.1, page 23.
- ___ Submit evidence of five (5) years of experience in maintenance facility design, RFQ Appendix F Section 16.2, Page 23 or a description of at least one project that demonstrates architectural and aesthetic expertise in the successful design of an architectural element that demonstrates the application of historical and cultural aspects to a significant corridor, similar to the significance of the Hegenberger corridor as a gateway to Oakland.

17.0 SYSTEMS INTEGRATION ENGINEERING FIRM

- ___ Provide information about the Systems Integration Engineering Firm, RFQ Appendix F Section 17.1, page 23.
- ___ Submit evidence of five (5) years experience in providing operating system interface engineering, system integration, testing and start-up services on AGT, heavy rail, or light rail transit projects, RFQ Appendix F Section 17.2, page 23.

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